



IN THE UNITED STATES PATENT AND TRADEMARK
OFFICE

APPLICANTS: John Nafeh and Kenton K. Yee
SERIAL NO.: 09/923,035
FILING DATE: August 6, 2001
TITLE: Methods and Apparatus for Formulation, Initial Public or Private
Offering, and Secondary Market Trading of Risk Management
Contracts
EXAMINER: Harbeck, Timothy M.
ART UNIT: 3628
CONF. NO.: 8692
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CERTIFICATE OF MAILING

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K. Brian Bathurst
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RESPONSE TO OFFICE ACTION

Sir:

In response to the Office Action mailed on October 2, 2006 ("Office Action"),
please consider the listing of claims beginning on page 2 of this response and the remarks
beginning on page 29 on this response.

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03 FC:2202

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